



# COMPLAINTS, COMPLIMENTS AND FEEDBACK POLICY AND PROCEDURE

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## 1. Scope and purpose of policy

The Complaints, Compliments and Feedback Policy applies to all services provided by Qualitrain Ltd. It can be used by anyone who would like to provide feedback on our service. There are separate policies for dealing with matters such as:

- Safeguarding: Raising concerns
- Grievance or disciplinary offences (staff only)
- Appeals against the outcome of assessment decisions
- Whistleblowing: Making disclosures in the public interest

## 2. Policy Statement

### 2.1 Overview

2.1.1 Qualitrain welcomes feedback from all its customers, both compliments and complaints, to help ensure high standards of service and to identify improvements needed.

2.1.2 Qualitrain is committed to openness and transparency by providing well publicised, accessible information on how to give feedback or make a complaint.

2.1.3 Complaints, compliments and feedback will be dealt with courteously, fairly and objectively.

2.1.4 Complaints, compliments and feedback are addressed appropriately through Qualitrain procedures.

### 2.2 Compliments and Feedback:

Qualitrain welcomes feedback from all users of our services. There are a number of options available to all our customers to provide compliments and feedback, such as:

- Learner and employer surveys: Conducted twice a year:
- Learner Reviews: Frequency of these is set to meet funding provider requirements
- By emailing: Any member of Qualitrain staff
- By completing our *Grievance, Compliments and Feedback Form* (QT3P1hWR1)

Compliments and feedback are used to identify what is going well and the aspects of our provision that need to be improved.



## 2.3 Complaints:

Complaints can be raised by any student, parent, employer, visitor or member of the community who is unhappy with our service. Qualitrain operates a staged complaints procedure. Often complaints can be resolved at the first “informal” stage of the procedure. If your complaint cannot be resolved at the informal stage, then there are up to three further “formal” stages; Section 3 covers the procedure for all stages. Staff and learners must be informed during their induction, that they have the right to refer a complaint to a relevant external body once they have exhausted our own internal procedures. Complaints can be forwarded directly to the ESFA at any stage by telephone or email using the details below

**ESFA phone national Apprenticeship service number 08000 150 600**

**ESFA email [nationalhelpdesk@apprenticeships.gov.org](mailto:nationalhelpdesk@apprenticeships.gov.org)**

2.2.1 Confidentiality: Where possible, confidentiality will be observed, throughout the operation of this policy. Where a complaint relates to specific individuals, Qualitrain may seek permission to share such details with them. If permission is not given, it may not be possible for Qualitrain to fully investigate or resolve a complaint.

2.2.2 Anonymous Complaints: Qualitrain does not normally accept or act upon anonymous complaints, due to Qualitrain not being in a position to collect all relevant information for investigation from such complaints and respond accordingly. There may, however, be exceptional circumstances where Qualitrain deems it appropriate to investigate a complaint from an anonymous source, which identifies risk to the Qualitrain community or the public.

2.2.3 Provoking or Malicious Complaints: A provoking or malicious complaint is defined as a complaint which is deemed unreasonable or untrue, having been put forward so as to abuse this procedure, or an attempt to attack the good name or reputation of another person. In case where a complaint is considered to be provoking or malicious, Qualitrain reserves the right to terminate the investigation of a complaint.

2.2.4 Permission to Disclose: If the complainant wishes for someone else to raise concerns with us, Qualitrain has a legal obligation under the Data Protection Act 1998 with regard to sharing information with third parties. Therefore, in some circumstances Qualitrain will require written permission to share this information with them.

**Before** permission is given to share the information with others, the complainant must consider whether our response will include any sensitive information about them. The complainant is required to contact us in advance to tell us which sensitive information we can and cannot share.

2.2.5 Multi-Issue Complaints: If a complaint identifies a number of issues which fall within the remit of other procedures, for example, an academic appeal or both, the content of such complaints will be reviewed. The complainant will then be notified and directed to the relevant policy and procedure.

2.2.6: Collective/ group complaints: Collective/ group complaints are expected to identify how each individual has been personally affected by the issues which are being brought to the attention of Qualitrain. Each individual named in the collective complaint must agree with the content of the complaint before it is submitted and individually sign to say that they are in agreement of the same. Only the nominated spokesperson will receive communication/ correspondence from Qualitrain.

## 3. Complaints Procedure



This procedure describes how Qualitrain Ltd will respond to a complaint in order to resolve it to the satisfaction of the complainant, prevent recurrence and improve the quality of service.

This procedure shall apply to complaints made by any student, parent, employer, visitor or member of the community using or affected by Qualitrain Ltd services or facilities. It covers all complaints unless your complaint is covered by its own special procedure. For example separate procedures exist for issues relating

to Safeguarding, Appeals, Staff Grievance, and Whistleblowing. All comments, positive and negative are welcomed.

### 3.1 Stage One: Informal Stage

Many issues or problems can be resolved informally through approaches to the member of staff involved, or their line manager. You should first approach the member of staff who seems best able to deal with the matter immediately. You can either speak to them or put your complaint in writing. The person you spoke to will try to resolve matters informally. They will investigate your complaint, and then contact you again, usually within five working days, to see if a solution can be found.

Alternatively, contact the main Qualitrain Office, who will advise you how best to make your complaint.

Additionally, Qualitrain Ltd encourages feedback from learners via a number of on-programme methods, including surveys; these can also be used to feedback issues. If you are a student you will find information on these processes in the Qualitrain Student Handbook.

### 3.2 Stage 2:

If you are not satisfied with the outcome of the informal Stage One of the complaint you can take your complaint to **STAGE TWO**, which is the first 'formal' stage of the Complaints Procedure. You should do this within 10 working days of receiving your response at Stage 1.

A Complaints Form (QT3P1hWR1) can be used to make a complaint; these are available from any member of staff, for collection from training rooms or the Qualitrain main office, or within the Student Handbook and Smart Assessor. The form can also be emailed or posted to you for your completion. Alternatively, a complaint can be received over the telephone by the Qualitrain main office. If taken over the telephone, a Complaints Form will be completed on your behalf by the member of Qualitrain staff taking your call. A complaint can also be made by letter. If the complaint is by letter; the letter will be attached to a Complaints Form for processing. Postal correspondence should be sent to **Qualitrain Limited, 26 Royal Scot Road, Pride Park, Derby. DE24 8AJ**

On receipt of a formal complaint, an acknowledgement will be sent within 5 working days.

- The complaint will be investigated, typically by the Managing Director, and a request may be made for additional information. Qualitrain would expect to receive the requested information from the complainant within 10 working days from the date of our request.
- We aim to provide a formal written response to the complainant within 15 working days of receiving the original complaint/ letter. If we are unable to do this you will be kept informed of our progress.



### 3.3 Stage 3:

Should the complaint not be resolved at Stage 2, you can take your complaint to **STAGE THREE**, which involves a referral to an external body, such as an Awarding Organisation or Funding Provider. This could involve one of the next steps, as applicable:

- A) Following the relevant Awarding Organisation's complaints procedure. If a learner still remains unhappy with the Awarding Organisation's outcome, then their complaint can be taken to the relevant qualification regulator.
- B) Funded learners: Following relevant funding provider complaints procedure. If the learner still remains unhappy with the funding provider's outcome, then their complaint can be taken to the overall funder of training, such as Skills Funding Agency.

Note: External bodies will not generally accept receipt of a complaint until the Qualitrain Ltd procedure has fully run its course.

### 6 TIME LIMITS

Qualitrain Ltd will endeavour to resolve complaints as expeditiously as possible and the time limits set out within this procedure offer a general indication of timescale. However, it may not always be practicable to adhere to a particular time scale, for example, because of holidays or illness or other intervening causes, in which case complainants will be given a written progress report and an estimate of the revised timescale. A complaint should be initiated within one month of the event or circumstances which are its cause.

### 7 REPRESENTATION AND CONFIDENTIALITY

A complainant may be accompanied by a friend (which term includes a representative of the Students' Union or Trades Union Representative) at any stage in the procedure. The friend may speak on behalf of the complainant. The person presiding over the relevant level of complaint (e.g. Director) must be notified of the name of the friend, not less than 5 working days before the friend's first involvement. In general, those about whom complaints have been made have a right to know what is being claimed and who is making the complaint. Where a complaint becomes formal and is made in writing therefore, a copy will normally be supplied to the person who is being complained about and that person will have the right to be accompanied by a friend in any related investigation. If complainants are concerned about protecting their anonymity they are advised to contact the Managing Director.

### 8 RESPONSIBILITIES FOR IMPLEMENTATION

The responsibility for implementing this procedure shall lie with the Managing Director.

### 9 Registering a complaint.

All formal complaints will be registered on work record QT3P1hWR2 to show the status of the complaint. The assigned person will open a complaint folder in Dropbox Directors Information Folder using the complaint reference number as identification. Any correspondence for the complaint is to be located in this



file. Written documents are to be scanned and stored in the electronic file. The information will be saved until the enquiry and route cause into the complaint has been completed. On completion of the complaint and being closed on the register the evidence will be reviewed for disposal and a note added to the register for the conclusion.

Non-Controlled if Saved/Printed